



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: )  
MEARS ET AL. )  
 )  
Serial No. 10/716,994 ) Examiner Thinh Nguyen  
 )  
Filing Date: NOVEMBER 11, 2003 ) Art Unit: 2818  
 )  
For: SEMICONDUCTOR DEVICE INCLUDING ) Attorney Docket No.  
BAND-ENGINEERED SUPERLATTICE ) 62601\_CON1  
 )  
\_\_\_\_\_ )

SUBMISSION OF AN INFORMATION  
DISCLOSURE STATEMENT UNDER §1.97(c) & (e)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Attached is Form PTO-1449 listing several references for consideration in the examination of the above-identified application. In accordance with current USPTO procedures published 05 AUG 2003, in 1276 OG 55, copies of the U.S. patent documents cited in the form 1449A are not attached. The undersigned would be happy to provide copies of these references if requested. Copies of non-U.S. patent references, if any, are attached. Pursuant to §1.97(e), Applicants, by and through their undersigned attorney, certify pursuant to 37 CFR §1.97(e) that either:

(1) each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement, or

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**MEARS ET AL.**

Serial No. **10/716,994**

Filing Date: **11/19/03**

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(2) no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement.

Applicants respectfully request that the references cited herein be considered by the Examiner and officially made of record in accordance with the provisions of 37 CFR §1.97(c) and (e).

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Chris Regan', is written over a horizontal line.

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**SUBSTITUTE FORM PTO-1449A  
LIST OF PATENTS AND  
APPLICANT'S INFORMATION  
DISCLOSURE STATEMENT**

Atty Docket: 62601\_CON1  
Serial No.: 10/716,994  
Applicant: MEARS ET AL.  
Filing Date: 11/19/03  
Group: 2818

**U.S. PATENT DOCUMENTS**

Examiner Initials		Document Number	Date	Name	Class	Sub Class	Filing Date
	AA	4,882,609	11/21/89	Schubert et al.	357	22	
	AB	5,081,513	1/14/92	Jackson et al.	357	23.7	
	AC	5,606,177	2/25/97	Wallace et al.	257	25	
	AD	6,255,150	7/3/01	Wilk et al.	438	191	
	AE	4,908,678	3/13/90	Yamazaki	357	4	
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						

**FOREIGN PATENT DOCUMENTS**

		Document Number	Date	Country	Class	Sub Class	Translation
	AM	0 843 361	5/20/98	EP	H01L29	76	
	AN						
	AO						
	AP						

**OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)**

	AQ	Patent Abstracts of Japan, Vol. 012, No. 080 (E-590), 12 March 1988 & JP 62 219665 A (Fujitsu Ltd), 26 September 1987 abstract
	AR	Patent Abstracts of Japan, Vol. 010, No.179 (E-414), 24 June 1986 & JP 61 027681 A (Res Dev Corp of Japan), 7 February 1986 abstract
	AS	

**EXAMINER:****DATE CONSIDERED:**

**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.